

**APPLICATION FOR EXCLUSIVE AGENT QUALIFICATION  
PURSUANT TO CHAPTER 16 OF TITLE 6.1 OF THE CODE OF VIRGINIA**

**INFORMATION AND INSTRUCTIONS**

Each individual applicant wishing to become an exclusive qualified agent for a licensed Virginia mortgage broker must complete and file this form. Additional information, attachments, and/or documents must be filed on **8 1/2" x 11"** paper.

**The following documents must be submitted with the application:**

1. A check for the qualification fee, payable to the Treasurer of Virginia. The fee is \$500 for each individual and is not refundable.
2. A properly executed, current (less than 90 days old) Personal Financial Report and Disclosure Statement form CCB-1123 (Rev.12/04). *The report must be executed with an original signature.* Personal Financial Report and Disclosure Statement forms are confidential.
3. An Employment and Business Affiliation Disclosure Form, CCB-1150.
4. Describe the experience (business qualifications) which qualify the applicant to become a Virginia mortgage broker.
5. List any professional licenses granted to the applicant by governmental departments or agencies over the last five years.
6. Authorization form CCB-1149 for a reference from a bank or depository institution with which the applicant has had a deposit account for at least one year. (Form CCB-1149 and bank references are confidential.)

The Bureau will review the application and accompanying materials for completeness upon receipt. Investigation of the application may be delayed if the application is incomplete. Thus, full and complete answers should be given at the outset of the application process.

As a general rule, documents filed with the Bureau of Financial Institutions become part of the public record. Except as permitted or required by law, the following shall be kept confidential: Personal Financial Report and Disclosure Statements, other documents which disclose personal account information, financial statements for sole proprietors, and information which could endanger the safety and soundness of a depository institution. Upon request, the Bureau will consider for confidential treatment any other documents or portions of the application that the applicant considers of a proprietary and personal nature. The request for confidential treatment must discuss the justification for the requested treatment, specifically demonstrating the harm (for example, loss of competitive position or invasion of privacy) that may result from public release of the information. Information for which confidential treatment is requested should be: (1) specifically identified in the public portion of the application (by reference to the confidential section); and (2) specifically separated and labeled "Confidential". The Bureau will advise the applicant if the request for confidentiality cannot be honored.

To view the entire Confidentiality Policy Statement of the Bureau of Financial Institutions or to download this application form or a related form, visit the Bureau's website at [www.scc.virginia.gov/division/banking](http://www.scc.virginia.gov/division/banking).

Inquiries concerning the preparation and/or filing of this application should be directed to the Bureau of Financial Institutions, 1300 East Main Street, Suite 800, Post Office Box 640, Richmond, Virginia 23218-0640. Telephone: (804) 371-9690; FAX: (804) 371-9416.

## APPLICATION FOR EXCLUSIVE AGENT QUALIFICATION

**Bureau of Financial Institutions  
State Corporation Commission  
1300 East Main Street, Suite 800  
Post Office Box 640  
Richmond, Virginia 23218-0640**

The undersigned hereby applies to the State Corporation Commission for a mortgage broker exclusive agent qualification. In support of this application, the following representations are made:

1. This application is to qualify to broker mortgage loans as exclusive agent for:

\_\_\_\_\_  
(name and address of licensee)

2. Applicant Name: \_\_\_\_\_

3. Applicant's Mailing Address:

\_\_\_\_\_  
\_\_\_\_\_

4. List the location of the office at or from which business is to be conducted. (Street, Town, City or County, Zip Code, or other identification and telephone number):

\_\_\_\_\_

5. Have you or any entity in which you were a director, officer, or principal owner applied for a license or other authority with this Bureau within the last ten (10) years? If yes, attach complete details of the outcome of the application including dates of approval, denial or withdrawal.

Yes \_\_\_\_\_ No \_\_\_\_\_

6. Have you or any entity in which you were a director, officer, or principal owner ever been refused a license to engage in mortgage lending and/or brokering business or had any such license suspended or revoked in any state? If yes, attach complete details of the refusal, suspension or revocation.

Yes \_\_\_\_\_ No \_\_\_\_\_

7. Has any state or federal agency ever initiated a regulatory action or entered an order against the applicant?

Yes \_\_\_\_\_ No \_\_\_\_\_ If yes, provide complete details.

8. If the applicant conducts a mortgage lending and/or mortgage brokering business in other states provide the following information. Also indicate any states in which applications are pending.

Name of State	Trade Name	Date License Was First <u>Granted, If Licensed</u>		# of Years <u>In Operation</u>	
		Mortgage Lender	Mortgage Broker	Mortgage Lender	Mortgage Broker

(Attach additional sheets as necessary)

9. List at least three business references (preferably from within the mortgage industry) who can attest to the character, reputation, experience, financial responsibility, and general fitness of the applicant.

Contact Name/Title	Institution/Mailing Address	Telephone Number

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### CERTIFICATION

The undersigned, being duly sworn, states that he/she has executed the foregoing application under Title 6.1, Chapter 16 of the Code of Virginia; and that to his/her knowledge, information and belief, such application contains no misstatement of fact nor omits a material fact called for.

\_\_\_\_\_  
Name (Type or Print)

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Telephone Number/E-mail Address

\_\_\_\_\_  
Title

Sworn to and subscribed before me this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_

\_\_\_\_\_  
Notary Public